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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
09/489,364	01/21/00	VARMA	S 10674/13

026646
KENYON & KENYON
ONE BROADWAY
NEW YORK NY 10004

TM21/0924

EXAMINER

FELTEN, D

ART UNIT

PAPER NUMBER

2164

DATE MAILED: 09/24/01

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

NOTICE OF ALLOWANCE AND ISSUE FEE DUE

026646
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ONE BROADWAY
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TM21/0924

APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
09/489,364	01/21/00	031	FELTEN, D	2164 09/24/01
First Named Applicant	VARMA, 35 USC 154(b) term ext. = 0 Days			

TITLE OF INVENTION METHOD AND SYSTEM FOR ANALYSIS, DISPLAY AND DISSEMINATION OF FINANCIAL INFORMATION USING RESAMPLED STATISTICAL METHODS

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEE DUE	DATE DUE
3-10674/13	705-035.000	M33	UTILITY	YES	\$620.00	12/24/01

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED.

THE ISSUE FEE MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED.

HOW TO RESPOND TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

- A. If the status is changed, pay twice the amount of the FEE DUE shown above and notify the Patent and Trademark Office of the change in status, or
- B. If the status is the same, pay the FEE DUE shown above.

If the SMALL ENTITY is shown as NO:

- A. Pay FEE DUE shown above, or
- B. File verified statement of Small Entity Status before, or with, payment of 1/2 the FEE DUE shown above.

II. Part B-Issue Fee Transmittal should be completed and returned to the Patent and Trademark Office (PTO) with your ISSUE FEE. Even if the ISSUE FEE has already been paid by charge to deposit account, Part B Issue Fee Transmittal should be completed and returned. If you are charging the ISSUE FEE to your deposit account, section "4b" of Part B-Issue Fee Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give application number and batch number. Please direct all communications prior to issuance to Box ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PATENT AND TRADEMARK OFFICE COPY

Notice of Allowability

Application No.
09/489,364

Applicant(s)

Varma

Examiner

Daniel Felten

Art Unit

2164



-The MAILING DATE of this communication appears on the cover sheet with the correspondence address-

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance and Issue Fee Due or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 6/21/01
2. ☒ The allowed claim(s) is/are 1-7 and 9-32
3. ☐ The drawings filed on _____ are acceptable as formal drawings.
4. ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
 - a) ☐ All b) ☒ Some* c) ☐ None of the:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____
 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- *Certified copies not received: _____
5. ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE FOR SUBMITTING NEW FORMAL DRAWINGS, OR A SUBSTITUTE OATH OR DECLARATION.** This three-month period for complying with the REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL is extendable under 37 CFR 1.136(a).

6. ☐ Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient. A SUBSTITUTE OATH OR DECLARATION IS REQUIRED.
7. ☒ Applicant MUST submit NEW FORMAL DRAWINGS
 - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
 - 1) ☐ hereto or 2) ☐ to Paper No. _____
 - (b) ☐ including changes required by the proposed drawing correction filed _____, which has been approved by the examiner.
 - (c) ☒ including changes required by the attached Examiner's Amendment/Comment or in the Office action of Paper No. 5.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

8. ☐ Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Any reply to this letter should include, in the upper right hand corner, the APPLICATION NUMBER (SERIES CODE/SERIAL NUMBER). If applicant has received a Notice of Allowance and Issue Fee Due, the ISSUE BATCH NUMBER and DATE of the NOTICE OF ALLOWANCE should also be included.

Attachment(s)

- | | |
|--|---|
| 1 <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 2 <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3 <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 4 <input type="checkbox"/> Interview Summary (PTO-413), Paper No. _____ |
| 5 <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449), Paper No(s). _____ | 6 <input type="checkbox"/> Examiner's Amendment/Comment |
| 7 <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit of Biological Material | 8 <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| 9 <input type="checkbox"/> Other | |

DETAILED ACTION

1
2 1. Receipt of the Amendment filed June 18, 2000 amending claims 1, 14, 23, 30, 32 and
3 canceling claims 8 and 33-34 acknowledged. Claims 1-7 and 9-32 are pending in the
4 application and are submitted to be examined upon their merits.
5

Drawings

6
7 2. New formal drawings are required in this application because of unacceptable top
8 margins for figs 10, 12, 13. Applicant is advised to employ the services of a competent patent
9 draftsman outside the Office, as the Patent and Trademark Office no longer prepares new
10 drawings.
11

Allowable Subject Matter

12
13 3. Claims 1-7 and 9-32 are allowed.
14

15 4. The following is an examiner's statement of reasons for allowance:

16 **Regarding claims 1-7 and 9-22:** The application discloses a method and system for
17 statistical analysis, display and dissemination of financial data over an information network.

1 The closest prior art is Nevo et al and Laster cited in the previous Office Action mailed March
2 14, 2001 under Paper No. 2. Nevo et al discloses a method and apparatus in which a status
3 indicator is presented to the user to convey information about significant changes contributing
4 to the status of the security or the financial market. Laster teaches the advantages of the
5 bootstrap technology wherein 10,000 bootstrap replications are constructed and the data for
6 each replication are generated by randomly ordered pairs. Neither Nevo et al or Laster
7 suggest alone or in combination as cited within independent claims 1 and 12, a method for
8 calculating, analyzing and displaying investment data with "...*a bias parameter, wherein the*
9 *bias parameter determines a degree of randomness in a resampling process*". Thus the
10 aforementioned limitation renders claims 1-7 and 9-22 nonobvious to one of ordinary skill in
11 the art because there is no feature within the prior art which determines the degree of
12 randomness in a **resampling** process.

13 **Regarding claims 23-32:** The application discloses a method and system for statistical
14 analysis of investment data over an information network. The closest aforementioned prior art
15 cited fails to disclose alone or in combination, *a plurality of processors collectively arranged*
16 *to perform a parallel processing computation*, in particular, a *resampled statistical analysis to*
17 *generate a resampled distribution*; and provide a report of the resampled distribution. The
18 closest prior art, in particular, does not disclose a parallel processing computation to generate

1 a resampled distribution. Therefore, claims 23-32 are considered non-obvious to one of
2 ordinary skill in the art.

3 Any comments considered necessary by applicant must be submitted no later than the
4 payment of the issue fee and, to avoid processing delays, should preferably accompany the
5 issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for
6 Allowance."

7
8 **Conclusion**

9 5. A list of cited references appears below not relied upon in this Office Action:

10 **US Patents:**

11 Tong et al (US 5,359,699) discloses a method of using a feed forward neural network to perform
12 classification with highly biased data

13 Werth (US 4,541,115) discloses a pattern processing system using parallel processing.

14 Makvic (US 6,061,662) discloses a simulation method and system for valuations of derivative
15 financial instruments.

16 **Foreign Patents:**

17 (JP 8-221573) discloses a seal reference registration system for financial institution

18 (JP 10-512985) discloses tracking and controlling state of transactions in parallel processing
19 system.

20 (JP 8-221574) discloses book seal registration system for financial institution.

21
22 6. Any inquiry concerning this communication or earlier communications from the examiner
23 should be directed to **Daniel S. Felten** whose telephone number is (703) 305-0724. The

1 examiner can normally be reached between the hours of 7:00AM to 5:30PM Monday-Thursday.
2 Any inquiry of a general nature relating to the status of this application or its proceedings should
3 be directed to the Customer Service Office (703) 306-5631, or the examiner's supervisor
4 **Vincent Millin** whose telephone number is (703) 308-1065.

5
6
7
8 7. Response to this action should be mailed to:
9

10 Commissioner of Patents and Trademarks

11 Washington, D.C. 20231
12

13 for formal communications intended for entry, or (703) 305-0040, for informal or draft
14 communications, please label "Proposed" or "Draft".

15 Communications via Internet e-mail regarding this application, other than those under 35
16 U.S.C. 132 or which otherwise require a signature, may be used by the applicant and should be
17 addressed to [*daniel.felten@uspto.gov*].
18
19
20

21 All Internet e-mail communications will be made of record in the application file. PTO
22 employees do not engage in Internet communications where there exists a possibility that
23 sensitive information could be identified or exchanged unless the record includes a properly
24 signed express waiver of the confidentiality requirements of 35 U.S.C. 122. This is more clearly

Serial Number: 09/489,364


Applicant(s): Varma (705/35)

Page 6

Art Unit: 2165

Representative: Messina (35,952)

1 set forth in the Interim Internet Usage Policy published in the Official Gazette of the Patent and
2 Trademark on February 25, 1997 at 1 195 OG 89.

3
4
5 
6 Daniel S. Felten
7 September 11, 2001


VINCENT MILLIN
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100